PTO-SB-08A (10-96) oproved for use 10-31-99. OMB 0651-0031

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Substitute for form 1449A-PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(USE AS MANY SHEETS AS NECESSARY)

Sheet	1	Of	2

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Application Number	New	S.4.
Filing Date	December 28, 2001	50 E
First Named Inventor	Thomas R. WERNER et	aたか
Group Art Unit	TBD	65 = E
Examiner Name	TBD	
Attorney Docket Number	V637- 25543 US	

				U.S. PATENT DOCUMENTS		
Examiner Initials*			Document	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines where relevant passages or relevant figures appear
		Number	Kind Code ² (if known)	2.000	34543000	
Me		6,069,905		Davis et al.	05-30-2000	
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Examiner Initials*		Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines where relevant passages or relevant figures appear	T ⁶
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	Examiner Signature			Date Considered	10/16/0)			

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(1) Unique citation designation number. (2) See attached kinds of U.S. patent documents. (3) Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). (4) For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. (5) Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. (6) Applicant is to place a check mark here if English language translation is attached.

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STATE	MENT E	BY APP	LICANT	First Named Inventor	Thomas R. WERNER et a	1. 20	
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Sheet	2	Of	2	Examiner Name	TBD		
				Attorney Docket Number	V637- 25543 US	>	J

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Sub	stitute for form 1449A/PTO			Complete if Known		
				Application Number	10,028,439	
11	IFORMATION	I DI	SCLOSURE	Filing Date	December 28, 2001	
S	TATEMENT I	3Y <i>A</i>	APPLICANT	First Named Inventor	Thomas R. Werner et al.	
		-	-	Art Unit	N/A	
	(use as many she	eets as	necessary)	Examiner Name	Not Yet Assigned	
Sheet	1	of	1	Attorney Docket Number	V637-25543 US	

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

		FOREI	GN PATENT DO	OCUMENTS		
Examiner	Cite	Foreign Patent Document	Publication Date	Name of Patentee or	Pages, Columns, Lines, Where Relevant	
Initials*	No.1	Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	144551000	Applicant of Cited Document	Passages or Relevant Figures Appear	T [®]
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¹ Applicant's unique citation designation number (optional). ² See attached Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁵ Applicant is to place a check mark here if English language Translation is attached.

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2~	AA	IEEE Photonics Technology Letters, VOL. 14. NO. 12, December 2002 "Single High-Order Transverse Mode Surface-Emitting Laser With Controlled Far-Field Pattern," S. Shinada and F. Koyama, Member IEEE, pp. 1641-1643	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute for form 1449A-PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet	1	2	2

сомі	PLETE IF KNOWN
Application Number	10/028,439
Filing Date	December 28, 2001
First Named Inventor	Thomas R. WERNER et al.
Art Unit	2881
Examiner Name	TBD
Attorney Docket Number	V637- 25543 US

	U.S. PATENT DOCUMENTS					
	C:10	Document Number		Dublication Data	No. of Bohata an	Pages, Columns, Lines Where
Examiner Initials*	Cite No.1	Number	Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Relevant Passages or Relevant Figures Appear
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Examiner Cite Initials* No.1	Foreign Patent Document			Publication Date	Name of Patentee or Applicant of Cited	Pages, Columns, Lines Where Relevant	T6	
	NO.	Country Code ³	Number ⁴	Kind Code ⁵ (if known)	MM-DD-YYYY	Document	Passages or Relevant Figures Appear	'
DN	EP	0 975 072	A2	01-26-2000	Canon Kabushiki Kaisha	16		
	wo	01/73903	A2	10-04-2001	Aegis Semiconductor			
DW		wo	01/80324	A2	10-25-2001	Digital Optics Corporation		

Examiner Signature	M	Date Considered	0/6/63

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Substitute for form 1449B-PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet	2	Of	2

COM	PLETE IF KNOWN
Applicati n Number	10/028,439
Filing Dat	Decemb r 28, 2001
First Named Inventor	Thomas R. WERNER et al.
Group Art Unit	2881
Examiner Name	TBD
Attorney Docket Number	V637- 25543 US

		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T
DU		International Search Report, dated 05-06-2003, relative to PCT application No. PCT/US 02/41737, the foreign equivalent to the instant U.S. application 10/028,439.	
pw		HOLM, J, et al., "Through-etched silicon carriers for passive alignment of optical fibers to surface-active Optoelectronic components", article, Sensors and Actuators, Vol 82, May 2000, pgs 245-8.	
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